



ATTORNEY DOCKET NO.
10/038,204-21-P011C1D3

1754
PATENT
Serial No. 10/038,204 (A)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application: Colbert, et al.
Serial No.: 10/038,204
Filed: December 21, 2001
Confirmation No: 1758
Art Unit: 1754
Examiner: Peter J. Lish
For: METHOD FOR FORMING AN ARRAY OF SINGLE-WALL CARBON NANOTUBES
AND COMPOSITIONS THEREOF

Mail Stop: Petitions
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

PETITION UNDER 37 C.F.R. § 1.48 TO CORRECT THE INVENTORSHIP

Dear Sir:

This petition under 37 C.F.R. § 1.48 is to correct the inventorship of this application.
Applicant respectfully petitions the inventors be corrected to reflect the correct inventorship of
this invention to the following:

12/03/2004 HDENESS1 00000013 10038204

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- 1 -

PETITION UNDER 37 C.F.R. § 1.48
TO CORRECT THE INVENTORSHIP

BEST AVAILABLE COPY

Daniel T. Colbert

Hongjie Dai

Jason H. Hafner

Andrew G. Rinzler

Richard E. Smalley

Jie Liu

Kenneth A. Smith

Ting Guo

Pavel Nikolaev

Andreas Thess.

The identification of the inventors specified on the original Declaration for this application was incorrect. This misidentification of the inventors was made through error and without deceptive intent.

The Official Filing Receipt for this application was issued on February 12, 2002. A corrected Declaration was filed on July 2, 2003 shortly after the error in the inventorship was discovered and the document was signed by the inventors. A Request for Corrected Filing Receipt was filed on October 22, 2003 after this office did not receive a corrected filing receipt by the PTO after its receipt of the Corrected Declaration. A Response to Request for Corrected Filing Receipt was issued by the PTO on November 12, 2003. This Response indicated that a Petition to Correct the Inventorship was required to correct the inventorship of this application. This Petition is being filed as soon as practicable after signature of all the required documents. Accordingly, this document is being timely filed under 37 CFR § § 1.116 and 1.312.

Attached to this Request are the following documents as specified in 37 CFR § 1.48:

1. A signed statement from all of the inventors indicating that the error in the inventorship occurred without deceptive intention on their part;

2. A copy of the Amended Declaration and Power of Attorney signed by all ten (10) inventors and filed with the PTO on July 2, 2003;

3. A copy of the Assignment signed by all ten (10) inventors and recorded with the Assignment Branch of the PTO on May 16, 2003 at Reel 014070 Frame 0372;

4. A copy of the Consent for Correction of Inventors, signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University;

5. Statement Under 37 CFR § 3.73(b), signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University;

6. Power of Attorney and Correspondence Address Indication Form, signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University; and

7. Supplemental Application Data Sheet reflecting all inventor information.

Applicant hereby requests that the inventor list and order of the inventors be changed to reflect the inventors and their order as specified above.

In the event this petition is granted, Applicant further respectfully requests the change be noted in the patent application and the file sent to the Application Processing Division for correction on the file wrapper label and the PALM data base regarding inventorship. MPEP § 605.04(g). Attached is a copy of the Official Filing Receipt with the changes to the filing receipt noted in red.

Enclosed is the Petition Fee in the amount of \$130.00. It is believed that no additional fees are due. However, the Director is hereby authorized to deposit any overpayment and debit any further charges to Deposit Account Number 23-2426 of Winstead Sechrest & Minick P.C.


ATTORNEY DOCKET NO.
11321-P011C1D3

PATENT
Serial No. 10/038,204

Applicant respectfully requests that Applicant's attorney be called at the below listed number if it is believed that such a discussion would be helpful in resolving any problems or questions.

Respectfully submitted,
WINSTEAD SECHREST & MINICK P.C.
Attorneys for Applicant

Date: 11/29/04

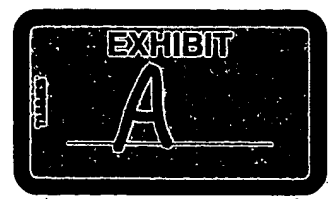
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arraign (ə-ˈraɪn) *tr.v.* -arraigned, -arraigning, -arraigns. 1. *Law.* To call before a court to answer to an indictment. 2. To call to account; charge: "Johnson arraigned the modern politics of this country as entirely devoid of all principle" (Boswell). [ME *arainen* < OFr. *arainier* < VLat. *adraitinire*; Lat. *ad-* to + Lat. *ratio*, account. —see *REASON*.] —*arraigner* *n.* —*arraignment* *n.*

arrange (ə-ˈræŋdʒ) *v.* -arranged, -arranging, -arranges. —*tr.* 1. To put into a specific order or relation; dispose. 2. To plan or prepare for: *arrange a picnic*. 3. To agree about; settle: "It has been arranged for him by his family to marry a girl of his own class" (Edmund Wilson). 4. *Mus.* To treat (music) for other instruments or voices or for another style of performance. —*intr.* 1. To come to an agreement. 2. To make preparations: plan: *arrange for a sabbatical*. [ME *arangen* < OFr. *aranger*; *ar-* to (< Lat. *ad*) + *rengier*, to put in a line < *reng*, line of Germanic orig.] —*arranger* *n.*

arrangement (ə-ˈræŋdʒmənt) *n.* 1. The act or process of arranging. 2. The condition, manner, or result of being arranged; disposal. 3. A collection or set of things that have been arranged. 4. Often arrangements. A provision or plan made in preparation for an undertaking. 5. An agreement or settlement; disposition. 6. *Mus.* a. An adaptation of a composition for other instruments or voices or to another style or level of difficulty. b. A composition so arranged. **arrant** (ə-ˈrɒnt) *adj.* Being completely such; thoroughgoing: *an arrant knave*. [Var. of *ERRANT*.] —*arrantly* *adv.*

arraz (ə-ˈræz) *n.* 1. A tapestry. 2. A wall hanging, esp. of tapestry. [ME, after *Aras*, France.]

array (ə-ˈreɪ) *tr.v.* -arrayed, -arraying, -arrays. 1. To arrange or draw up, as troops in battle order. 2. To deck in finery; adorn. —*n.* 1. An orderly arrangement, esp. of troops. 2. An impressive display of numerous persons or objects: "a heavenly array of monstrous clubs and spears" (Melville). 3. Splendid attire; finery. 4. *Math.* a. A rectangular arrangement of quantities in rows and columns, as in a matrix. b. Numerical data linearly ordered by magnitude. 5. An arrangement of computer memory elements in one or several planes. [ME *arrai* < OFr. *arrai* < VLat. **arredare*, of Germanic orig.]

arrayal (ə-ˈreɪəl) *n.* 1. The act or process of arraying. 2. Something arrayed; array.

arrears (ə-ˈreɪəz) *n.* 1. The state of being in arrears. 2. An amount owed in payment.

arrears (ə-ˈreɪəz) *pl.n.* 1. An unpaid and overdue debt or an unfulfilled obligation. 2. The state of being behind in fulfilling contracted obligations or payments: *in arrears*. [*<* ME *arre*, behind < OFr. *arere* < LLat. *ad retro*, backward; Lat. *ad-* to + Lat. *retro*, behind.]

arrest (ə-ˈrest) *tr.v.* -arrested, -arresting, -arrests. 1. To stop or check the motion, progress, growth, or spread of. 2. To seize and hold under authority of the law. 3. To capture and hold briefly (the attention, for example); engage. —*n.* 1. a. The act of arresting. b. The state of being arrested. 2. A device for arresting motion, esp. of a moving part. —*idiom.* under arrest. Detained in legal custody. [ME *arresten* < OFr. *arrest* < VLat. **arrestare*; Lat. *ad-* to + Lat. *restare*, to stand still (< *re-*, back + *stare*, to stand).] —*arrested* *n.* —*arresting* *adj.*

arresting (ə-ˈrestɪŋ) *adj.* Attracting and holding the attention; striking. —*arrestingly* *adv.*

arhythmic (ə-ˈrɪθmɪk) *n.* Any irregularity in the force or rhythm of the heartbeat. [Gk. *arrhythmia*, lack of rhythm < *arrhythmos*, unrhythmic; *a-*, without + *rhythmos*, rhythm.] **arhythmic** (ə-ˈrɪθmɪk) *adj.* Also *arhythmical* (ə-ˈrɪθmɪkəl) *adj.* Lacking rhythm or regularity of rhythm. —*arhythmically* *adv.*

arriere-ban (ə-ˈrɪə-ˈbæn, -ˈbān) *n.* 1. In medieval France, a royal proclamation by which vassals were summoned to military service. 2. The vassals summoned by an *arriere-ban*. [Fr. < OFr. *arriere-ban*, alteration of *herban*, of Germanic orig.]

arriere-pensée (ə-ˈrɪə-ˈpɛn-sə) *n.* An ulterior motive. [Fr. *arriere*, in back + *pensée*, thought.]

arête (ə-ˈrɪt) *n., pl.* arêtes or arêtes. *Archit.* The sharp edge or ridge formed by two surfaces meeting at an angle, as in a gable. [Alteration of OFr. *arête*, ridge. —see *ARête*.]

arrival (ə-ˈrɪvəl) *n.* 1. The act of arriving. 2. A person or thing that arrives or has arrived. 3. The reaching of a goal or objective as a result of some process or effort.

arrive (ə-ˈrɪv) *intr.v.* -arrived, -arriving, -arrives. 1. To reach a destination. 2. To come at length; take place: *The day of crisis has arrived*. 3. To achieve success or recognition. —*phraseal* *adv.* arrive at. To reach through some process or effort: *arrive at a decision*. [ME *ariven* < OFr. *ariver* < VLat. **arripere*; Lat. *ad-* to + Lat. *ripa*, shore.] —*arriver* *n.*

arvidite (ə-ˈrɪvɪt) *n., pl.* arvidites (-ˈvɪtɪ). A social climber in opportunistic; upstart. [Fr. < *arriver*, to arrive < OFr. *ariver*.]

arbo (ə-ˈrɒb) *n.* *Archaic.* 1. A unit of weight in Spanish-speaking countries equal to about 25 pounds. 2. A unit of weight in Portuguese-speaking countries equal to about 32 pounds. 3. A liquid measure used in Spanish-speaking countries, having varying value, but approximately equal to 3 quarts when used to measure wine. [Sp. and Port. < Ar. *ad*, the quarter (of a quintal).]

arrogance (ə-ˈrɒɡəns) *n.* The state or quality of being arrogant.

arrogant (ə-ˈrɒɡənt) *adj.* 1. Overly convinced of one's own importance; overbearingly proud; haughty. 2. Characterized by or arising from haughty self-importance. [ME *arrogant* < OFr. < Lax. *arrogans*, pr.prt. of *arrogare*, to arrogate.] —*arrogantly* *adv.*

arrogate (ə-ˈrɒɡət) *tr.v.* -arrogated, -arrogating, -arrogates. 1. To claim, take, or assume for oneself without right. 2. To attribute to another unwarrantably. [Lat. *arrogare*, arrogate; *ad-*, to + *rogare*, to ask.] —*arrogation* *n.* —*arrogative* *adj.* —*arrogator* *n.*

arrondissement (ə-ˈrɒn-dɛs-mən) *n.* 1. The chief administrative subdivision of a department in France. 2. A municipal subdivision of some large French cities. [Fr. < *arrondir*, to round out; *ar-* to (< Lat. *ad*) + *roundir*, to make round.]

arrow (ə-ˈrɒ) *n.* 1. A straight, thin shaft that is shot from a bow and usually made of light wood with a pointed head at one end and flight-stabilizing feathers at the other. 2. Something similar to an arrow in form, function, or speed. 3. A sign or symbol shaped like an arrow and used to indicate direction. [ME *arwe* < OE *arwe*.]

arrowhead (ə-ˈrɒ-hed) *n.* 1. The pointed, removable striking tip of an arrow. 2. Something shaped like an arrowhead, such as a mark indicating a limit on a drawing. 3. Any aquatic or marsh plant of the genus *Sagittaria*, having arrowhead-shaped leaves and white flowers.

arrowroot (ə-ˈrɒ-root, -ˈrɒt) *n.* 1. A tropical American plant, *Maranta arundinacea*, having roots that yield an edible starch. 2. The starch from the arrowroot and from certain plants of the genera *Manihot*, *Curcuma*, and *Tacca*. [So called because it was used to draw poison from arrow wounds.]

arrow-wood (ə-ˈrɒ-wud) *n.* Any of several small shrubs of the genus *Viburnum*, such as the dockmackie, having straight tough stems formerly used by the Indians to make arrows.

arrow worm *n.* Any of various small, slender marine worms of the phylum Chaetognatha, having prehensile bristles on each side of the mouth.

arroyo (ə-ˈrɒi-ə) *n., pl.* -os. 1. A deep gully cut by an intermittent stream; dry gulch. 2. A brook or creek. [Sp., ult. < Lat. *arroyo*, mine-shaft.]

ars (ɑːs) *n.* *Chiefly Brit.* Variant of *ars*.

arsenal (ə-ˈrɛn-səl) *n.* 1. A governmental establishment for the storing, manufacturing, or repairing of arms, ammunition, and other war materiel. 2. A stock of weapons. 3. A store or supply: *She arrived with an arsenal of assistants*. [Ital. *arsenale* < Ar. *dar-as-sinduh*; *dar*, house + *as*, the + *sinduh*, manufacture < *sanda*, he made.]

arsenate (ə-ˈrɛn-sat, -nāt) *n.* A salt or ester of arsenic acid.

arsenic (ə-ˈrɛn-sɪk) *n.* 1. A highly poisonous metallic element having three allotropic forms, yellow, black, or gray, of which the brittle, crystalline gray is the most common. Arsenic and its compounds are used in insecticides, wood killers, solid-state doping agents, and various alloys. Atomic number 33; atomic weight 74.922; valence 3 or 5. Gray arsenic melts at 817°C (at 28 atm pressure), sublimes at 613°C, and has a specific gravity of 5.73. 2. Arsenic trioxide. —*adj.*

arsenide (ə-ˈrɛn-sɪd) *n.* Of or containing arsenic, esp. with valence 5. [ME *arsenik* < OFr. < Lat. *arsenicum* < Gk. *arsenikon*, yellow orpiment < Pers. *zarnik* < zar, gold.]

arsenic acid (ə-ˈrɛn-sɪk) *n.* A poisonous white translucent crystalline compound, H₃AsO₄, used to manufacture arsenates.

arsenical (ə-ˈrɛn-sɪkəl) *adj.* Of or containing arsenic. —*n.* A drug or preparation containing arsenic.

arsenic trioxide (ə-ˈrɛn-sɪk) *n.* A poisonous white amorphous powder, As₂O₃, used in insecticides, rat poison, and weed killers.

arsenide (ə-ˈrɛn-sɪd) *n.* A compound of arsenic with a more electropositive element.

arsenious (ə-ˈrɛn-si-əs) *adj.* Of or containing arsenic, esp. with valence 3.

arsenopyrite (ə-ˈrɛn-sɪ-paɪ-rit) *n.* A silver-white to gray arsenic ore, essentially FeS₂FeAs₂.

arsine (ə-ˈrɛn, ɪ-ˈrɛn) *n.* A colorless, flammable, very poisonous gas, AsH₃, used as a military poison gas, as a solid-state doping agent, and in organic synthesis. [ARSENIC] + *-ine*.]

arsis (ə-ˈrɪs) *n., pl.* -ses (-sɛz). 1. Originally, the unaccented or shorter part of a foot of verse. 2. In modern usage, the accented or longer part of a foot of verse. 3. *Mus.* The upbeat or unaccented part of a measure. [LLat., raising of the voice < Gk., upward beat < *akrein*, to lift.]

arson (ə-ˈrɒn) *n.* The crime of maliciously setting fire to the buildings or property of another or of burning one's own property for some improper purpose, as to collect insurance. [AN < OFr. *arçon* < Mod. Lat. *arso* < Lat. *ardere*, to burn.] —*arsonist* *n.*

arsphenamine (ə-ˈrɛn-fen-a-mɛn) *n.* A yellow hygroscopic powder, C₁₂H₁₂N₄O₂As₂·2HCl·2H₂O, formerly used to treat syphilis. [ARSENIC] + *PHEN(VL)* + *AMINE*.]

art (ɑːt) *n.* 1. Human effort to imitate, supplement, alter, or



arrowhead
Above: Tip of an arrow
Below: *Sagittaria latifolia*

JUN 21 2004
OTV

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

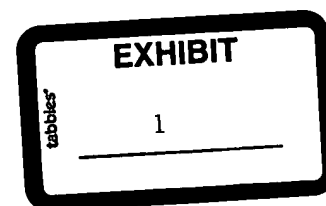
MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003


are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

The error in the original list of inventors was inadvertent and such error arose without any deceptive intent on the part of any of the persons named as an original inventor or on the part of the persons who through error were not originally named as an inventor.



Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE:  **DATE:** 6/17/04

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____ **DATE:** _____

DALLAS_1139133522
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: **COLBERT, Daniel T.**

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF SECOND INVENTOR: **DAI, Hongjie**

INVENTOR'S SIGNATURE: Hongjie DAI DATE: 7/14/04

FULL NAME OF THIRD INVENTOR: **HAFNER, Jason H.**

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF FOURTH INVENTOR: **RINZLER, Andrew G.**

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF FIFTH INVENTOR: **SMALLEY, Richard E.**

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF SIXTH INVENTOR: **JIE LIU**

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ **DATE:**_____

DALLAS_I391335202
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

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10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

The error in the original list of inventors was inadvertent and such error arose without any deceptive intent on the part of any of the persons named as an original inventor or on the part of the persons who through error were not originally named as an inventor.

Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____


DATE: _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:  _____

DATE: 6/21/04

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS_1139133522
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/ Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:  **DATE:** 8/10/04

FULL NAME OF FIETH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____

DATE:_____

DALLAS_11391335212
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
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10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:  **DATE:** 6/30/04

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ **DATE:**_____

DALLAS_1139133522
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: 07/10/04

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____

DATE:_____

DALLAS_11391335202
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: **KENNETH A. SMITH**

INVENTOR'S SIGNATURE: Kenneth A. Smith DATE: July 26, 2004

FULL NAME OF EIGHTH INVENTOR: **TING GUO**

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF NINTH INVENTOR: **PAVEL NIKOLAEV**

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF TENTH INVENTOR: **ANDREAS THESS**

INVENTOR'S SIGNATURE: _____ DATE: _____

DALLAS_1139133522
11321-P011 WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

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09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

The error in the original list of inventors was inadvertent and such error arose without any deceptive intent on the part of any of the persons named as an original inventor or on the part of the persons who through error were not originally named as an inventor.

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____



DATE: 7/7/2004

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS_139133522
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: **KENNETH A. SMITH**

INVENTOR'S SIGNATURE: _____

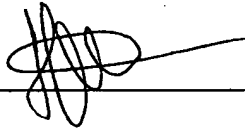
DATE: _____

FULL NAME OF EIGHTH INVENTOR: **TING GUO**

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF NINTH INVENTOR: **PAVEL NIKOLAEV**

INVENTOR'S SIGNATURE:  _____

DATE: 7.9.04

FULL NAME OF TENTH INVENTOR: **ANDREAS THESS**

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS_1139133522
11321-P011WOUS 01/07/2004

Attorney Docket No.
11321-P011 Series

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

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09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: Andreas Thess

DATE: July 15 2004

DALLAS 139133522
11321-P011WOUS 01/07/2004

**AMENDED DECLARATION AND POWER OF ATTORNEY FOR
U.S. NATIONAL PHASE PATENT APPLICATION
CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

The following divisionals of United States Patent Application Serial No. 10/000,746 have been filed (the "Divisional Patent Applications"):

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

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EXHIBIT

2

Attorney Docket No.
11321-P011 Series

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Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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Application No.
60/023,732

Official Filing Date
August 8, 1996

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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

**Attorney Docket No.
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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE:  **DATE:** 2/25/03

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 5825 Gulfon, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: Kenneth A. Smith **DATE:** 2-25-07

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

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INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

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INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2232 1/2 TROON
Houston, Texas 77019

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
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CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011 WUC1 02/19/2003

Attorney Docket No.
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POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

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INVENTOR'S SIGNATURE: Hongjie Dai DATE: 2/27/03

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POST OFFICE ADDRESS: (Same as Residence)

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11321-P011WUC1 02/19/2003

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INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:  _____ **DATE:** 03/06/03

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3610 Underwood, Houston, Texas, 77025, USA

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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

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**Attorney Docket No.
11321-P011 Series**

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Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

We hereby claim the benefit for each of the Applications under 35 U.S.C. 119(e) of any United States provisional application(s) listed below:

Application No.
60/023,732

Official Filing Date
August 8, 1996

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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

**Attorney Docket No.
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Hugh R. Kress, Reg. No. 36,574
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Henry L. Ehrlich, Reg. No. 39,663
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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

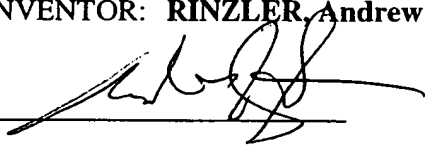
INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:  _____ **DATE:** 6/19/03

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 5825 Gulfon, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 2232 ½ TROON
Houston, Texas 77019

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011WUC1 02/19/2003

**Attorney Docket No.
11321-P011 Series**

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(37 CFR 1.63)**

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**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

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10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
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INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

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CITIZENSHIP: United States of America

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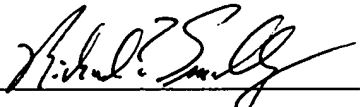
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CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:  **DATE:** 2/20/03

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CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

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DATE:_____

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Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

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DATE:_____

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Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

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INVENTOR'S SIGNATURE:_____

DATE:_____

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Davis, California 95616

CITIZENSHIP: CHINA

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INVENTOR'S SIGNATURE:_____

DATE:_____

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Houston, Texas 77019

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulace,
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AUSTIN_1\208783\1
11321-P011WUC1 02/19/2003

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INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

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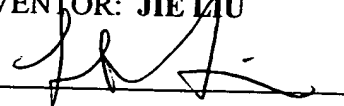
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POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: 

DATE: 02/21/03

RESIDENCE: ~~5825 Gulton, Apartment 3214 Houston, Texas 77081~~ 502 Westminster Drive Chapel Hill, North Carolina 27514

HL 02/21/03

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

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DATE: _____

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The following divisionals of United States Patent Application Serial No. 10/000,746 have been filed (the "Divisional Patent Applications"):

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

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Attorney Docket No.
11321-P011 Series

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Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
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[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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60/023,732

Official Filing Date
August 8, 1996

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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

Attorney Docket No.
11321-P011 Series

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Hugh R. Kress, Reg. No. 36,574
Robert C. Shaddox, Reg. No. 34,011
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100 Congress Avenue, Suite 800
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and direct all telephone calls to **Ross Spencer Garsson, Esq.** at 512-370-2870 and all facsimile communications to 512-370-2850.

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FULL NAME OF FIRST INVENTOR: **COLBERT, Daniel T.**

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: **1911 Milford St., Houston, TX 77098 USA**

CITIZENSHIP: **United States of America**

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 5825 Gulfton, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: Kenneth A. Smith **DATE:** 2-25-03

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2232 ½ TROON
Houston, Texas 77019

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011WUC1 02/19/2003

Attorney Docket No.
11321-P011 Series

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CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

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NANOTUBE ASSEMBLIES**

the specification of which:

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☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ DATE: _____

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CITIZENSHIP: U.S.A.

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INVENTOR'S SIGNATURE:  _____

DATE: 4/7/03

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INVENTOR'S SIGNATURE: _____

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**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
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INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ DATE: _____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

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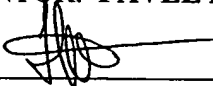
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AUSTIN_112087831
11321-P011WUC1 02/19/2003

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the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

The following divisionals of United States Patent Application Serial No. 10/000,746 have been filed (the "Divisional Patent Applications"):

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

We further believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the inventions of these Divisional Patent Applications.

Attorney Docket No.
11321-P011 Series

Collectively, United States Patent Application Serial No. 10/000,746 and the Divisional Patent Applications are the "Applications".

We hereby state that we have reviewed and understand the contents of the above identified specifications for each of the Applications, including the claims. We hereby authorize our attorney, or his representative, to insert the Application Number, filing and amendment dates.

We acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 CFR 1.56.

We hereby claim foreign priority benefits for each of the Applications under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

We hereby claim the benefit for each of the Applications under 35 U.S.C. 119(e) of any United States provisional application(s) listed below:

Application No.
60/023,732

Official Filing Date
August 8, 1996

We hereby claim the benefit for each of the Applications under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, We acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

**Attorney Docket No.
11321-P011 Series**

For each of the Divisional Patent Applications, we further claim the benefit under 35 U.S.C. 120 of United States Patent Application Serial No. 10/000,746, and, insofar as the subject matter of each of the claims of any of the Divisional Patent Application is not disclosed in the this prior United States application in the manner provided by the first paragraph of 35 U.S.C. 112, we acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

POWER OF ATTORNEY: As named inventors, we hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Ross Spencer Garsson, Reg. No. 38,150
Hugh R. Kress, Reg. No. 36,574
Robert C. Shaddox, Reg. No. 34,011
Henry L. Ehrlich, Reg. No. 39,663
Timothy M. Donoughue, Reg. No. 46,668
Reece A. Scott, Reg. No. 41,297
Edward T. Mickelson, Reg. No. 50,413

of the law firm of WINSTEAD SECHREST & MINICK P.C. Please direct all correspondence to:

Ross Spencer Garsson, Esq.
WINSTEAD SECHREST & MINICK P.C.
100 Congress Avenue, Suite 800
Austin, Texas 78701 USA

and direct all telephone calls to Ross Spencer Garsson, Esq. at 512-370-2870 and all facsimile communications to 512-370-2850.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ DATE:_____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ DATE:_____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:_____ DATE:_____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:_____ DATE:_____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: Andreas Thess DATE: 02/26/2003

RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare *
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany

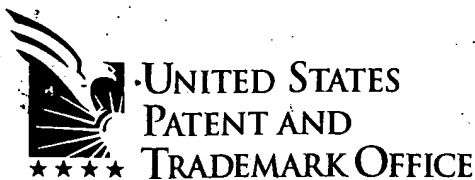
CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_11208783\1
11321-P011WUC1 02/19/2003

*
Andreas Thess' residence:

Andreas Kemmler-Weg 3 02/26/2003
72127 Kusterdingen Th
Germany



OCTOBER 24, 2003

Chief Financial Officer and Chief Administrative Officer
Washington, DC 20231
www.uspto.gov

PTAS
WINSTEAD SECHREST & MINICK, P.C.
ROSS SPENCER GARSSON
P.O. BOX 50784
1201 MAIN STREET
DALLAS, TX 75250-07984



102452527A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/16/2003

REEL/FRAME: 014070/0372
NUMBER OF PAGES: 42

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LIU, JIE

DOC DATE: 02/21/2003

ASSIGNOR:

SMITH, KENNETH A

DOC DATE: 04/04/2003

ASSIGNOR:

GUO, TING

DOC DATE: 04/07/2003

ASSIGNOR:

NIKOLAEV, PAVEL

DOC DATE: 02/21/2003

ASSIGNOR:

THESS, ANDREAS

DOC DATE: 02/26/2003

ASSIGNOR:

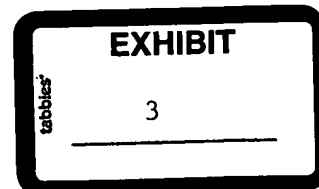
COLBERT, DANIEL T.

DOC DATE: 02/25/2003

ASSIGNOR:

DAI, HONGJIE

DOC DATE: 02/27/2003



ASSIGNOR:

HAFNER, JASON H.

DOC DATE: 03/06/2003

ASSIGNOR:

RINZLER, ANDREW G.

DOC DATE: 04/16/2003

ASSIGNOR:

SMALLEY, RICHARD E.

DOC DATE: 02/20/2003

ASSIGNEE:

WILLIAM MARSH RICE UNIVERSITY
6100 MAIN STREET
HOUSTON, TEXAS 77005

SERIAL NUMBER: 10000746
PATENT NUMBER:

FILING DATE: 11/30/2001
ISSUE DATE:

SERIAL NUMBER: 10028231
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027671
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10038204
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027753
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027670
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027750
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027726
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027628
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027668
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027568
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

05-20-2003

Form PTO-1595

(Rev. 10/02)

RI



OMB No. 0651-0027 (exp. 6/30/2005)

102452527

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

Tab settings ⇨ ⇨ ⇨ ▼

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev;
Andreas Thess; Daniel T. Colbert; Hongjie Dai; Jason
H. Hafner; Andrew G. Rinzler; and Richard E. SmalleyAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

2/21/03; 4/4/03; 4/7/03; 2/21/03;
 Execution Date: 2/26/03; 2/25/03; 2/27/03; 3/6/03;
 4/16/03; and 2/20/03

2. Name and address of receiving party(ies)

Name: William Marsh Rice UniversityInternal Address: 6100 Main StreetStreet Address: 6100 Main StreetCity: Houston State: TX Zip: 77005Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s) 10/000,746; 10/028,23110/027,671; 10/038,204; 10/027,753; 10/027,670;10/027,750; 10/027,726; 10/027,628 Additional numbers attached? ☒ Yes ☐ No

B. Patent No.(s) _____

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Ross Spencer GarssonInternal Address: Winstead Sechrest & Minick P.CStreet Address: P.O. Box 507841201 Main StreetCity: Dallas State: TX Zip: 75250-07846. Total number of applications and patents involved: 117. Total fee (37 CFR 3.41).....\$ 440.00☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

23-2426 (11321-P011WUC1)

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9. Signature

UNELLER 00000133 10000746

Ross Spencer Garsson

Name of Person Signing

Signature

Total number of pages including cover sheet, attachments, and documents: 42

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

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 Date

05/19/2003

01 FC:8021

440.00 CP

Continuation of Recordation Form Cover Sheet (Form PTO-1595)

4. Application number(s) or patent number(s):

A. Patent Application No.(s):

10/027,668; and 10/027,568

AUSTIN_1214865\1
11321-P011WUC1 05/09/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
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10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:

Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, William Marsh Rice University, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

DANIEL T. COLBERT
a resident of Houston, Texas

Dated: 2/25/03



HONGJIE DAI
a resident of Sunnyvale, California

Dated: _____

JASON H. HAFNER
a resident of Somerville, Massachusetts

Dated: _____

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: _____

ASSIGNMENT

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NANOTUBE ASSEMBLIES

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09/242,040	United States National Phase	PCT Application	August 8, 1997
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FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

DANIEL T. COLBERT
a resident of Houston, Texas

Dated: _____

HONGJIE DAI
a resident of Sunnyvale, California

Dated: 2/27/03

Hongjie Dai

JASON H. HAFNER
a resident of Somerville, Massachusetts

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: _____

ASSIGNMENT

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10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:

Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, **William Marsh Rice University**, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings; and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below:

DANIEL T. COLBERT
a resident of Houston, Texas

Dated: _____

HONGJIE DAI
a resident of Sunnyvale, California

Dated: _____

JASON H. HAFNER
a resident of ~~Somerville, Massachusetts~~
Houston, Texas *JH*

Dated: 07/06/03

Jason H. Hafner

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: _____

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

 X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

Appl Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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a resident of Houston, Texas

Dated: _____

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Dated: _____

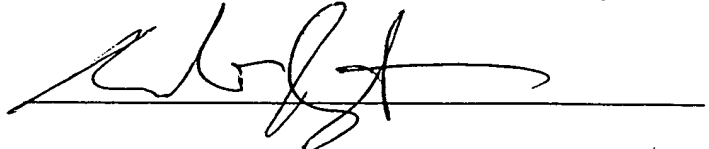
JASON H. HAFNER
a resident of Somerville, Massachusetts

Dated: _____

ANDREW G. RINZLER

~~a resident of Houston, Texas~~ NEWBERRY, FL AGR.
4/16/03

Dated: 4/16/03



RICHARD E. SMALLEY

a resident of Houston, Texas

Dated: _____

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

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a resident of Houston, Texas

Dated: _____

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Dated: _____

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a resident of Somerville, Massachusetts

Dated: _____

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: 2/20/03

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IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

JIE LIU

a resident of ~~Houston, Texas~~ Chapel Hill, North Carolina

12/02/21/03

Dated: 02/21/03



KENNETH A. SMITH

a resident of Katy, Texas

Dated: _____

TING GUO

a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV

a resident of Houston, Texas

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

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AUSTIN_1\211971\1
11321-P011WUC1 04/04/2003

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WHEREAS, William Marsh Rice University, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

JIE LIU
a resident of Houston, Texas

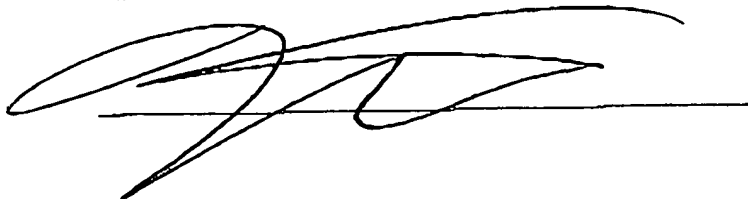
Dated: _____

KENNETH A. SMITH
a resident of Katy, Texas

Dated: _____

TING GUO
a resident of Davis, California

Dated: 4/7/03



PAVEL NIKOLAEV
a resident of Houston, Texas

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

AUSTIN_1\208780\1
11321-P011WUC1 02/19/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:

Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

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JIE LIU

a resident of Houston, Texas

Dated: _____

KENNETH A. SMITH

a resident of Katy, Texas

Dated: _____

TING GUO

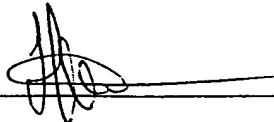
a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV

a resident of Houston, Texas

Dated: 2.21.03

 _____

ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

AUSTIN_1\208780\1
11321-P011WUC1 02/19/2003

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10/027,628	11321-P011C1D9	Divisional	December 21, 2001
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a resident of Houston, Texas

Dated: _____

KENNETH A. SMITH
a resident of Katy, Texas

Dated: _____

TING GUO
a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV
a resident of Houston, Texas

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREAS THESS

a resident of ~~Martinsried~~, Germany

Kusterdingen

02/26/2003

TPB

Dated: 02/26/2003

Andreas TPB

AUSTIN_112087801
11321-P011WUC1 02/19/2003

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**TRANSMITTAL
FORM**

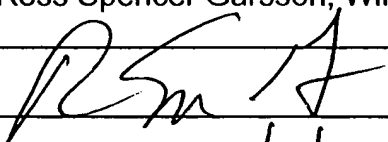
(to be used for all correspondence after initial filing)

Application Number	10/000,746
Filing Date	11/30/2001
First Named Inventor	Daniel T. Colbert
Group Art Unit	2881
Examiner Name	Not Yet Assigned
Attorney Docket Number	11321-P011WUC1

Total Number of Pages in This Submission **44****ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Recordation Cover Sheet; Check No. 002720 (\$440.00); Postal Card Receipt Card
Remarks		

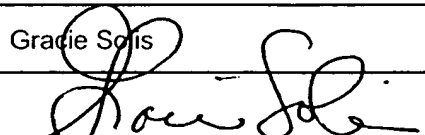
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Ross Spencer Garsson, Winstead Sechrest & Minick P.C.
Signature	
Date	05/12/03

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

05/12/2003

Typed or printed name	Gracie Sois
Signature	
Date	05/12/2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 440.00

Complete if Known

Application Number	10/000,746
Filing Date	November 30, 2001
First Named Inventor	Daniel T. Colbert
Examiner Name	Not Yet Assigned
Art Unit	2881
Attorney Docket No.	11321-P011WUC1

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

23-2426

Winstead Sechrest & Minick P.C.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$ 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code	Small Entity Fee Code	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

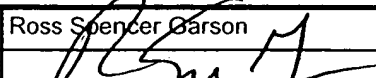
Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	440.00
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 440.00

SUBMITTED BY

Name (Print/Type)	Ross Spencer Carson	Registration No. (Attorney/Agent)	38,150	Telephone	512/370-2870
Signature		Date	5/12/03		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ASSIGNEE CONSENT FOR CORRECTION OF INVENTORS

Assignee hereby consents to the Correction of Inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
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10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

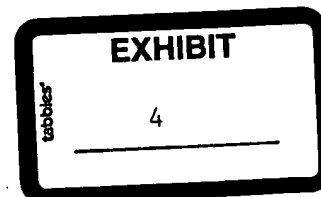
The correct Inventors of the invention relating to these applications are: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

WILLIAM MARSH RICE UNIVERSITY

Date: 6/22/, 2004

By: Peter L. Schuerman
Peter L. Schuerman
Acting Director, Office of Technology Transfer

DALLAS 1\3913504\1
11321-P011WOUS 06/15/2004



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: William March Rice UniversityApplication No./Patent No.: 10/038,204 Filed/Issue Date: December 21, 2001Entitled: Method for Forming An Array of Single-Wall Carbon Nanotubes and Compositions ThereofWilliam March Rice University, a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014070, Frame 0372, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

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6/22/04

Date

Peter L. Schuerman

Typed or printed name

Peter L. Schuerman

Signature

Acting Director, Office of Technology Transfer

Title

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EXHIBIT

5

**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/038,204
Filing Date	December 21, 2001
First Named Inventor	Daniel T. Colbert
Title	Method for Forming an Array . . .
Art Unit	1754
Examiner Name	Peter J. Lish
Attorney Docket Number	11321-P011C1D3

I hereby appoint:

☐ Practitioners at Customer Number:

OR

☒ Practitioner(s) named below:

Name	Registration Number
Ross Spencer Garsson	Reg. No. 38,150
Robert C. Shaddox	Reg. No. 34,011
Henry L. Ehrlich	Reg. No. 39,011
Edward T. Mickelson	Reg. No. 50,413

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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Country	US				
Telephone	512.370.2870	Fax	512.370.2850		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name	Peter J. Schuerman, Acting Director, Office of Technology Transfer, William Marsh Rice University		
Signature	<i>Peter J. Schuerman</i>		
Date	6/22/04	Telephone	(713) 348-6231

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

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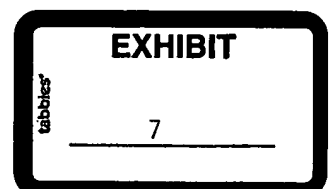
6

tabbies

Application Data Sheet

Application Information

Application number::	10/038,204
Filing Date::	12/21/01
Application Type::	Regular
Subject Matter::	Utility
Suggested Classification::	
Suggested Group Art Unit::	1754
CD-ROM or CD-R?::	None
Number of CD disks::	
Number of copies of CDs::	
Sequence Submission?::	None
Computer Readable Form (CRF)?::	No
Number of copies of CRF::	
Title::	METHOD FOR FORMING AN ARRAY OF SINGLE-WALL CARBON NANOTUBES AND COMPOSITIONS THEREOF
Attorney Docket Number::	11321-P011C1D3
Request for Early Publication?::	No
Request for Non-Publication?::	No
Suggested Drawing Figure::	1
Total Drawing Sheets::	14
Small Entity?::	Yes
Petition included?::	No
Petition Type::	
Licensed US Govt. Agency::	
Contract or Grant Numbers::	
Secrecy Order in Parent Appl.?::	No



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Representative Designation::	Registration Number::	Representative Name::
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Associate	36,574	Hugh R. Kress
Associate	39,663	Henry L. Ehrlich
Associate	50,413	Edward T. Mickelson

Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	Division of	10/000,746	10/31/2001
Parent	Continuation of	09/242,040	09/13/1999
Grandparent	US National Stage	PCT/US97/13896	08/08/1997

Foreign Priority Information

Country::	Application number::	Filing Date::	Priority Claimed::

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Dallas_1 4039347v.1

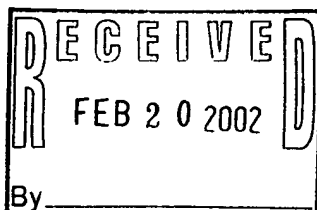


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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/038,204	12/21/2001	2881	871	11321- P011C1D3	14	57	7

Hugh R. Kress
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CONFIRMATION NO. 1758

FILING RECEIPT



OC000000007463243

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Date Mailed: 02/12/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

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Assignment For Published Patent Application

William Marsh Rice University, Houston, TX;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A DIV OF 10/000,746 11/30/2001
WHICH IS A CON OF 09/242,040 09/13/1999 ABN
WHICH IS A 371 OF PCT/US97/13896 08/08/1997
WHICH CLAIMS BENEFIT OF 60/023,732 08/08/1996

Foreign Applications

If Required, Foreign Filing License Granted 02/12/2002

Projected Publication Date: 05/23/2002

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Method for forming an array of single-wall carbon nanotubes and compositions thereof

Preliminary Class

250

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